



Practitioner's Docket No. IB-1576CIP

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Alivisatos, A. Paul; Rockenberger, Joerg

Application No.: 09/721,126

Group No.: 1754

Filed: 11/22/2000

Examiner: Bos, S.

For: Process for making surfactant capped metal oxide nanocrystal and products produced by the process

**Commissioner for Patents**

**P.O. Box 1450**

**Alexandria, VA 22313-1450**

**STATEMENT THAT SUBSTITUTE SPECIFICATION  
CONTAINS NO NEW MATTER (37 C.F.R. section 1.125)**

**1. Identification of person making this statement**

Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90B-0104  
Berkeley, CA 94720

The person making this statement is the attorney in this application, Registration Number 46,470.

**2. Statement**

I hereby state that the accompanying substitute specification contains no new matter over that contained in the above-identified application originally filed. I further state that the changes made are the same as indicated in the inter-lineated original specification also accompanying this declaration.

Signature of person making statement

*CR Nold*  
\_\_\_\_\_  
8/17/2007  
Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90B-0104  
Berkeley, CA 94720  
Reg 46,470



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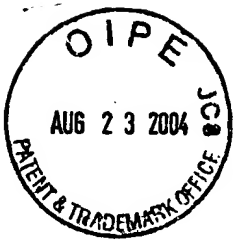
**Alexandria VA 22313-1450**

**TRANSMITTAL OF SUBSTITUTE SPECIFICATION (37 C.F.R. section 1.125)**

1. Enclosed is a substitute specification for the originally filed specification in this application.
2. This substitute specification is in response to a NOTICE REGARDING DRAWINGS sent by the PTO on June 21, 2004. The ONLY changes in the specification are in regard to the drawings and are required to be made in response to the NOTICE REGARDING DRAWINGS. The changes to the specification are minor and only reflect the position of the drawings, i.e. "see fig. 2, left" was changed to ----see FIG 2a----.
3. Also enclosed is a marked-up copy of the substitute specification showing the matter being added to and the matter being deleted from the specification.
4. Accompanying this transmittal is a statement, as required by 37 C.F.R. section 1.125, that the substitute specification transmitted herewith contains no new matter.

Date: 8/17/2004

cn Nold  
Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90B  
Berkeley, CA 94720



Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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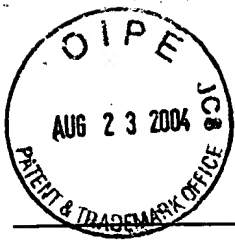
<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/721,126
	<b>Filing Date</b>	November 22, 2000
	<b>First Named Inventor</b>	A. Paul Alivisatos
	<b>Group Art Unit</b>	1754
	<b>Examiner Name</b>	Bos, S.
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b> IB-1576A

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input checked="" type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	substitute specification; marked up copy of original specification
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	This response is in reply to a Notice regarding drawings mailed June 21, 2004.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Charles R. Nold; Lawrence Berkeley National Laboratory
Signature	C R Nold
Date	8/17/2004

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: August 17, 2004	
Typed or printed name	Charles R. Nold
Signature	C R Nold
Date	8/17/2004

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NUMBER	FILING DATE	FIRST NAME APPLICANT	ATTORNEY DOCKET NUMBER
09/721126	11/22/2000	A. Paul Alivisatos	IB-1576- C.I.P.

Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90-1121  
Berkeley CA 94720

Examiner: Bos, Stevens J.

Art Unit  
17564


Paper Number  
#

Response Calendared 11/22/2004  
Attorney Initials CAJ  
File: IB- 1576A

Date Mailed: June 21, 2004

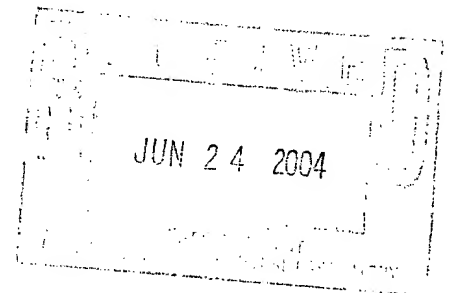
**Notice Regarding Drawings**

Corrected drawings for the above-identified application, received in the USPTO on **November 22, 2000** still not acceptable for the reason(s) identified on the attached PTO-948. Applicant is given one opportunity to correct the informalities within a two-month time period from the mailing date of this Notice. **THIS TIME PERIOD IS NOT EXTENDABLE UNDER EITHER 37 CFR 1.136(a) OR 1.136(b).** Failure to take corrective action within the set period will result in abandonment of the application.

ATTACHMENT: PTO-948 Notice of Draftsperson's Patent Review 

**RETURN CORRECTED DRAWINGS TO:**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450





Form PTO-948 (Rev. 06/03)  
Application No. \_\_\_\_\_

09/721126



**COPY**

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

### NOTICE OF DRAFTSPERSON'S PATENT DRAWING REVIEW

The drawing(s) filed (insert date) 11/22/00 are:

- A. ☒ approved by the Draftsperson under 37 CFR 1.84 or 1.152.  
B. ☒ objected to by the Draftsperson under 37 CFR 1.84 or 1.152 for the reasons indicated below. Corrected drawings are required.

**1. DRAWINGS.** 37 CFR 1.84(a): Acceptable categories of drawings: Black ink or Color (3 sets required).

Color drawings are not acceptable until petition is granted. Fig(s) \_\_\_\_\_

Pencil and non black ink not permitted. Fig(s) \_\_\_\_\_

**2. PHOTOGRAPHS.** 37 CFR 1.84(b)

One (1) full-tone set is required. Fig(s) \_\_\_\_\_

Photographs may not be mounted. 37 CFR 1.84(e)

Photographs must meet paper size requirements of 37 CFR 1.84(f). Fig(s) \_\_\_\_\_

Poor quality (half-tone). Fig(s) \_\_\_\_\_

**3. TYPE OF PAPER.** 37 CFR 1.84(e)

Paper not flexible, strong, white, and durable.

Fig(s) \_\_\_\_\_

Erasures, alterations, overwritings, interlineations, folds, copy machine marks not accepted.

Fig(s) \_\_\_\_\_

**4. SIZE OF PAPER.** 37 CFR 1.84(f): Acceptable sizes:

21.0 cm by 29.7 cm (DIN size A4) or

21.6 cm by 27.9 cm (8 1/2 x 11 inches)

All drawing sheets not the same size.

Sheet(s) \_\_\_\_\_

Drawings sheets not an acceptable size. Fig(s) \_\_\_\_\_

**5. MARGINS.** 37 CFR 1.84(g): Acceptable margins:

Top 2.5 cm Left 2.5 cm Right 1.5 cm Bottom 1.0 cm

Margins not acceptable. Fig(s) \_\_\_\_\_

Top (T) Left (L)

Right (R) Bottom (B)

**6. VIEWS.** 37 CFR 1.84(h)

REMINDER: Specification may require revision to correspond to drawing changes, e.g., if Fig. 1 is changed to Fig. 1A, Fig. 1B and Fig. 1C, etc., the specification, at the Brief Description of the Drawings, must likewise be changed.

Views not labeled separately or properly.

Fig(s) 1-9

**7. SECTIONAL VIEWS.** 37 CFR 1.84(h)(3)

Sectional designation should be noted with

Arabic or Roman numbers. Fig(s) \_\_\_\_\_

**8. ARRANGEMENT OF VIEWS.** 37 CFR 1.84(i)

Words do not appear on a horizontal, left-to-right fashion when page is either upright or turned so that the top becomes the right side, except for graphs. Fig(s) \_\_\_\_\_

**9. SCALE.** 37 CFR 1.84(k)

Scale not large enough to show mechanism without crowding when drawing is reduced in size to two thirds in reproduction.

Fig(s) 1-9

**10. CHARACTER OF LINES, NUMBERS, & LETTERS.** 37 CFR 1.84(l)

Lines, numbers & letters not uniformly thick and well defined, clean, durable, and black (poor line quality). Fig(s) 1-9

**11. SHADING.** 37 CFR 1.84(m)

Solid black areas pale. Fig(s) \_\_\_\_\_

Solid black shading not permitted. Fig(s) \_\_\_\_\_

**12. NUMBERS, LETTERS, & REFERENCE CHARACTERS.** 37 CFR 1.84(p)

Numbers and reference characters not plain and legible. Fig(s) \_\_\_\_\_

Figure legends are poor. Fig(s) \_\_\_\_\_

Numbers and reference characters not oriented in the same direction as the view. 37 CFR 1.84(p)(1) Fig(s) \_\_\_\_\_

English alphabet not used. 37 CFR 1.84(p)(2)

Numbers, letters and reference characters must be at least 32 cm (1/8 inch) in height. 37 CFR 1.84(p)(3). Fig(s) 1-9

**13. LEAD LINES.** 37 CFR 1.84(q)

Lead lines missing. Fig(s) \_\_\_\_\_

**14. NUMBERING OF SHEETS OF DRAWINGS.** 37 CFR 1.84(t)

Sheets not numbered consecutively, and in Arabic numbers beginning with number 1. Sheet(s) \_\_\_\_\_

**15. NUMBERING OF VIEWS.** 37 CFR 1.84(u)

Views not numbered consecutively, and in Arabic numerals, beginning with number 1. Fig(s) \_\_\_\_\_

**16. DESIGN DRAWINGS.** 37 CFR 1.152

Surface shading shown not appropriate.

Fig(s) \_\_\_\_\_

Solid black surface shading is not permitted except when used to represent the color black as well as color contrast. Fig(s) \_\_\_\_\_

#### COMMENTS:

- data in shaded areas must be shown clear  
- fig legend titles of (Figs 1-9)

Reviewer \_\_\_\_\_

If you have questions, call (703) 305-8404.

Date 6/21/04

Attachment to Paper No. \_\_\_\_\_